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| FORM PTO-1449 | U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE | ATTY. DOCKET NO. CF/024 | SERIAL NO. 09/927,628 |
| INFORMATION DISCLOSURE STATEMENT BY APPLICANT | | APPLICANT Andrew H. Pritchard | |
| | | FILING DATE August 10, 2001 | GROUP 2162 |

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
|---------------------|--------------------|----------|------------------|-------|----------|----------------------------------|
| <i>OIA</i> | 3,976,840 | 08/24/76 | Cleveland et al. | 179 | 2 | |
| <i>I</i> | 4,412,287 | 10/25/83 | Braddock, III | 364 | 408 | |
| | 4,674,044 | 06/16/87 | Kalmus et al. | 364 | 408 | |
| | 4,823,265 | 04/18/89 | Nelson | 364 | 408 | |
| | 5,101,353 | 03/31/92 | Lupien et al. | 364 | 408 | |
| | 5,126,936 | 06/30/92 | Champion et al. | 364 | 408 | |
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| | 5,220,500 | 06/15/93 | Baird et al. | 364 | 408 | |
| | 5,267,148 | 11/30/93 | Kosaka et al. | 364 | 408 | |
| | 5,270,922 | 12/14/93 | Higgins | 364 | 408 | |
| | 5,689,651 | 11/18/97 | Lozman | 395 | 237 | |
| | 5,761,661 | 06/02/98 | Coussens et al. | 707 | 9 | |
| | 5,778,357 | 07/07/98 | Kolton et al. | 707 | 2 | |
| | 5,806,048 | 09/08/98 | Kiron et al. | 705 | 36 | |
| | 5,893,079 | 04/06/99 | Cwenar | 705 | 36 | |
| <i>O-A</i> | 5,946,667 | 08/31/99 | Tull, Jr. et al. | 705 | 36 | |
| | 5,950,176 | 09/07/99 | Keiser et al. | 705 | 37 | |

FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION | |
|---------------------|-----------------|----------|---------|-------|----------|-------------|----|
| | | | | | | YES | NO |
| <i>O-A</i> | WO 98/49639 | 11/05/98 | PCT | G06F | 17/60 | | |
| <i>O-A</i> | WO 99/01983 | 01/14/99 | PCT | H04N | 7/14 | | X |
| <i>O-A</i> | WO 00/26745 | 05/11/00 | PCT | G06F | | | |
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EXAMINER

A. Kimball

DATE CONSIDERED 7/20/06

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FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
CF/024SERIAL NO.
09/927,628INFORMATION DISCLOSURE
STATEMENT BY APPLICANTAPPLICANT
Andrew H. PritchardFILING DATE
August 10, 2001GROUP
2162

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

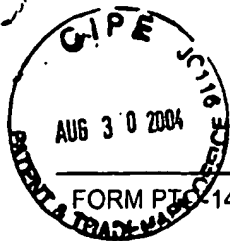
| EXAMINER INITIAL | |
|---------------------|---|
| | |
| D.A. | Standard & Poor's Depository Receipts® ("SPDRs")®, SPDR Trust, Series 1, A Unit Investment Trust, prospectus dated 4/25/96. |
| O.A. | Jinny St. Goar, "Weaving WEBS and Baskets," from the Internet at http://www.assetpub.com/archive/gc/96-02gcsummer/summer96GC086.html , printed on 8/2/00. |
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Sheet 1 of 2

FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
CF-24APPLICATION NO.
09/927,628INFORMATION DISCLOSURE
STATEMENT BY APPLICANTSAPPLICANT
Andrew H. PritchardCONFIRMATION NO.
5363FILING DATE
August 10, 2001GROUP
3624

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
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FOREIGN PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION | |
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| | | | | | | YES | NO |
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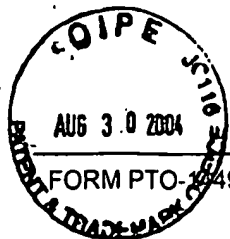
OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

| EXAMINER INITIAL | |
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| 0-A | United States Department of the Treasury, Bureau of the Public Debt, at http://www.publicdebt.treas.gov , printed August 25, 2004. |
| | Actively Managed Exchange-Traded Funds, Investment Company Act Release No. 25258, November 8, 2001. |
| | Merrill Lynch, Pierce, Fenner & Smith Incorporated, SEC No Action Letter (1999 SEC No-Act. LEXIS 737), pub. avail. September 3, 1999. |
| | Indosuez Asset Management Asia Limited, SEC No Action Letter (1997 SEC No-Act. LEXIS 326), pub. avail. February 14, 1997. |
| | Commonwealth Bank of Australia, SEC No Action Letter (1996 SEC No-Act. LEXIS 865), pub. avail. September 23, 1996. |
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| ✓ | CRT Government Securities, Ltd., SEC No Action Letter (1992 SEC No-Act. LEXIS 844), pub. avail. August 4, 1992. |
| 2-A | Bear, Stearns & Co. Inc., SEC No Action Letter (1992 SEC No-Act. LEXIS 81), pub. avail. January 28, 1992. |

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FORM PTO-1049

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
CF-24APPLICATION NO.
09/927,628INFORMATION DISCLOSURE
STATEMENT BY APPLICANTSAPPLICANT
Andrew H. PritchardCONFIRMATION NO.
5363FILING DATE
August 10, 2001GROUP
3624

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc.)

| EXAMINER INITIAL | |
|---------------------|--|
| <i>O.A.</i> | Merrill Lynch, Pierce, Fenner & Smith, Inc., SEC No Action Letter (1990 SEC No-Act. LEXIS 1136), pub. avail. September 26, 1990. |
| <i>O.A.</i> | Financial Security Assurance Inc., SEC No Action Letter (1988 SEC No-Act. LEXIS 456), pub. avail. March 30, 1988. |
| <i>O.A.</i> | Central Utah Rural Impact Capital Corp., SEC No Action Letter (1980 SEC No-Act. LEXIS 3589), pub. avail. August 29, 1980. |

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FORM PTO-1449

U.S. DEPARTMENT OF COMMERCE
PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
CF-24APPLICATION NO.
09/927,628SECOND SUPPLEMENTAL INFORMATION DISCLOSURE
STATEMENT BY APPLICANTAPPLICANT
Andrew H. PritchardCONFIRMATION NO.
5363FILING DATE
August 10, 2001GROUP
2162

U.S. PATENT DOCUMENTS

| EXAMINER INITIAL | DOCUMENT NUMBER | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE |
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| O.A. | 6,088,685 | 07/11/2000 | Kiron et al. | 705 | 36 | |
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